Guidance on the use of solely or jointly

authored publications within a thesis

submission

# Background

* 1. The University wishes to encourage all research degree candidates to publish their work and disseminate their results, either before or after submission of a thesis. This document sets out advice approved by the Research Degrees Committee on the situations when the use of published work within a thesis (which has been carried out during the course of the candidature) is relevant and acceptable to the University. It also provides further information on the important matter of identifying the contribution of others to the work contained within the thesis. This is especially important when chapters may be based on jointly authored publications[[1]](#footnote-1) where the examiners will need to be able to clearly identify the work directly attributable to the candidate to determine whether there is a substantially original contribution by the candidate and whether this contribution is at the appropriate level to merit the award of the degree.

# Advice to candidates

* 1. A collection of publications bound together is not an acceptable form of submission for a research degree thesis at York St John University.
  2. Where the student is the sole, lead[[2]](#footnote-2), first or primary author on a publication the University will permit[[3]](#footnote-3) the use of the work contained within the publication which the student was directly responsible for authoring to form the basis for all or part of a chapter of the thesis. The candidate would not be expected to reproduce any aspect of a publication that was not their own work (including figures and illustrations, for example).
  3. Candidates must bear in mind that it is not acceptable to simply include the work, as published, to form a chapter of a thesis. In all cases the work must be reformatted and rewritten to ensure integration with the hypotheses and central arguments of the thesis to ensure that it reads as a coherent whole. Instances of repetition should be removed as much as possible to ensure that the thesis is a coherent and readable piece of work.
  4. Candidates are asked to bear in mind that journal articles can be very restrictive in terms of length and it is expected that, where appropriate, the thesis will include a more in depth discussion of methods, results etc than appeared in the original publication.
  5. In all cases the thesis is expected to conform to the norms within the discipline for the structure of a thesis, presentation of research, methods, results etc and must also conform to the thesis format requirements in the Guide to the Examination Process for Research Degree Examinations.
  6. Where a candidate has used work from a solely or jointly authored publication to form part of a chapter of the thesis then they must also provide an electronic copy of the publication(s) alongside the eThesis submitted for examination[[4]](#footnote-4), to assist the examiners (see section 2.17 of the Guide to the Examination Process for Research Degrees).
  7. Candidates must fully attribute all aspects of the thesis which they have not directly authored. Any instances where this may not have occurred would be considered under the Research Misconduct Policy

# Application for Assessment

* 1. Where work, which has formed part of a solely or jointly authored publication, is to be included within a thesis (as outlined above), candidates must declare their intention to use this work on the appropriate section of the Application for Assessment. Candidates are required to:
     1. confirm their intention to include work already published as part of a solely or jointly authored publication (where they have been the lead or primary author);
     2. confirm which chapters of the thesis will include work which has been published in solely or jointly authored publications with details of the publications (e.g. title, authors, publication etc.);
     3. in the case of work from jointly authored publications candidates must provide an outline of their contribution to the paper and that of the other authors to the work. The signatures of **all** the other authors to the paper are required to confirm the information supplied. These will be copied and included with the documentation sent to the examiners with the thesis.

# Presentation of the thesis (where work from jointly authored publications will be included)

* 1. Where work which has formed part of jointly authored publications has been included in a thesis the contribution of the candidate and others should be explicitly stated in all relevant sections of the thesis. Examiners will need to be able to clearly identify the work directly attributable to the candidate to determine whether there is a substantially original contribution to the subject concerned and whether the student’s own contribution is at the appropriate level to merit the award of the degree.
  2. To assist the examiners in this process, candidates must ensure that the following information is included within their thesis:
     1. the appropriate statement is presented on page 2 of their thesis as follows:

‘The candidate confirms that the work submitted is their own, except where work which has formed part of jointly authored publications has been included. The contribution of the candidate and the other authors to this work has been explicitly indicated below. The candidate confirms that appropriate credit has been given within the thesis where reference has been made to the work of others.’

* + 1. page 2 of the thesis must then be used to explicitly outline:
       1. the details of which chapters within the thesis have been based on work from jointly authored publications and/or manuscripts;
       2. details of the jointly authored publications which have been used (e.g. title, names of authors, publication/submission details etc.);
       3. details of the work contained within these publications which is directly attributable to the candidate;
       4. details of the contributions of the other authors to the work (in the case of jointly authored publications)

# Copyright Information

* 1. Candidates should gain permission from copyright owners for any substantial third party content included in their thesis. Insubstantial amounts can be included under fair dealing for criticism and review, provided that it is correctly acknowledged and referenced. Text or images included in this way must be the subject of ‘criticism or review’, and not simply included to embellish the text.
  2. Further information on copyright is available as follows:

[YSJU Library Copyright Essentials](https://www.yorksj.ac.uk/students/library/copyright/)

Guide to the Examination Process for Research Degrees

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| Associated links: | [Guide to the Examination Process for Research Degrees](https://www.yorksj.ac.uk/media/content-assets/registry/research-degrees/thesis-submission-and-examination/Guide-to-the-examination-process-for-research-degrees.docx)  [Research Misconduct Policy](https://www.yorksj.ac.uk/media/content-assets/registry/research-degrees/complaints-appeals-and-disciplinary/Research-Misconduct-Policy-and-Procedures.docx) |

## Version control statement

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1. For the purpose of this document, the term ‘publication’ refers to work which has been submitted or accepted for publication, in addition to work which has been published. [↑](#footnote-ref-1)
2. The term ‘lead’ refers to the contribution of the student to the work, rather than the order in which the names of the authors appear on the publication. [↑](#footnote-ref-2)
3. Under the terms of its *Policy on Intellectual Property Rights* [↑](#footnote-ref-3)
4. If the appointed examiners have also requested a soft bound copy of the thesis for examination purposes a loose copy of the publication(s) will also be required. A copy of each publication is required for each examiner appointed. [↑](#footnote-ref-4)